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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/533,826	04/06/2006	Gerard Marx	2488.014	8215

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HESLIN ROTHENBERG FARLEY & MESITI PC
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ALBANY, NY 12203

EXAMINER

YOUNG, HUGH PARKER

ART UNIT	PAPER NUMBER
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1654

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
31 DAYS	02/15/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary	Application No. 10/533,826	Applicant(s) MARX ET AL.	
	Examiner Hugh P. Young	Art Unit 1654	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on ____.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-47 is/are pending in the application.
- 4a) Of the above claim(s) ____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) ____ is/are allowed.
- 6) ☐ Claim(s) ____ is/are rejected.
- 7) ☐ Claim(s) ____ is/are objected to.
- 8) ☒ Claim(s) 1-47 are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on ____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. ____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|--|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. ____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date ____ | 6) <input type="checkbox"/> Other: ____ |

DETAILED ACTION

This is the first Office action on application No: 10,533,826. There are forty-seven claims pending, all of which are the subject of this restriction requirement.

Election/Restrictions

1. Restriction is required under 35 U.S.C. 121 and 372.

This application contains the following inventions or groups of inventions which are not so linked as to form a single general inventive concept under PCT Rule 13.1.

In accordance with 37 CFR 1.499, applicant is required, in reply to this action, to elect a single invention to which the claims must be restricted.

Group I, claims 1-10, 34-36, drawn to a haptotactic-peptide liposomal composition comprising a peptide and a liposome. If the invention of Group I is elected Applicant is required to elect a single peptide sequence from the claimed SEQ ID NOS: 1-14. This is not an election of species, but rather, an election of invention under section 121, 35 U.S.C.

Group II, claims 11-21, 22-33, 37-47, drawn to methods of increasing liposome uptake using haptotactic-peptide liposomal compositions comprising a peptide and a liposome. If the invention of Group II is elected Applicant is required to elect a single peptide sequence from the claimed SEQ ID NOS: 1-14. This is not an election of species, but rather, an election of invention under section 121, 35 U.S.C.

1. The inventions listed as Groups I-II do not relate to a single general inventive concept under PCT Rule 13.1 because, under PCT Rule 13.2, they lack the same or corresponding special technical features for the following reasons:

The technical feature of the groups, which is the peptides, is not a contribution over the prior art. In US Patent No. 7,122,620 B1 Gorodetsky et al. teach peptides comprising the instant sequence of SEQ ID NO: 1, which is claimed in the instant claims 3 and 16 (see Pat. No. 7,122,620: Abstract; Table 1, column 8, lines 37-50; and claims

Art Unit: 1654

1 and 2, for example). Gorodetsky et al. thus teach not only haptotactic peptides, but an exact sequence as disclosed and claimed in the instant application. Therefore the peptide cannot serve as a technical feature because it is not a contribution over the prior art.

2. Furthermore, the instantly claimed inventions are to different categories of invention; however, they do not meet the following requirements of 37 CFR 1.475, wherein they instantly have multiple products and multiple methods of using to make medicaments.

37 CFR § 1.475 states: ...

(b) An international or a national stage application containing claims to different categories of invention will be considered to have unity of invention if the claims are drawn only to one of the following combinations of categories:

(1) A product and a process specially adapted for the manufacture of said product; or

(2) A product and process of use of said product; or

(3) A product, a process specially adapted for the manufacture of the said product, and a use of the said product; or

(4) A process and an apparatus or means specifically designed for carrying out the said process; or

(5) A product, a process specially adapted for the manufacture of the said product, and an apparatus or means specifically designed for carrying out the said process.

(c) If an application contains claims to more or less than one of the combinations of categories of invention set forth in paragraph (b) of this section, unity of invention might not be present...

(e) The determination whether a group of inventions is so linked as to form a single general inventive concept shall be made without regard to whether the inventions are claimed in separate claims or as alternatives within a single claim.

Annex B, Part I(f) of the Administrative Instructions under PCT states that, "wherein a single claim defines alternatives (chemical or non-chemical)...the requirement of a technical interrelationship and the same or corresponding special

Art Unit: 1654

technical features as defined in Rule 13.2, shall be considered to be met when the alternatives are of a similar nature."

The alternatives must comply with subsections (i)(A) and one of either (i)(B)(1) or (i)(B)(2), which requires that, "all alternatives have a common property or activity" and "a common structure is present, i.e., a significant structural element is shared by all of the alternatives" (B)(1) or "in cases where the common structure cannot be the unifying criteria, all alternatives belong to a recognized class of chemical compounds in the art to which the invention pertains."(B)(2).

In the instant case, the peptides of claims 3-5 require that the compounds have the same activity/function (ACE inhibition), satisfying requirement (A). However, the claims fails to satisfy either (B)(1) or (B)(2). The claims recite structures that as defined by the claim limitations are open to compounds that do not necessarily share a common core, thus failing to meet the requirements of (B)(1).

Further, in looking to subsection (f)(iii), it is stated that 'recognized class of chemical compounds' means that, "there is an expectation from the knowledge in the art that members of the class will behave in the same way in the context of the claimed invention. In other words, each member could be substituted one for the other, with the expectation that the same intended result would be achieved." One of skill in the art would not recognize these divergent peptides to function in the context of the instantly claimed invention. Thus, the claim fails to meet the requirement of (B)(2).

Election of invention under Section 121, 35 U.S.C.

3. Claims 3-6 and 16-19 comprise peptides that differ in structure because the sequences provided in these claims comprise non-conservative amino acid substitutions. Thus, sequences without a divulged core structure that explains the peptides' functions or properties have been claimed for Invention I and are necessary to practice Invention II. Therefore, the peptide sequences (SEQ ID NOS: 1-14) are considered to be patentably distinct. If either Invention I or II is elected, it will be examined only insofar as it pertains to the single sequence listed therein and selected therefrom. This is **NOT** a *species election*, but rather an invention election under Section 121, 35 USC. If sequences of the other inventions happen to be found in the search of the selected invention, the examiner will rejoin the invention comprising the

Art Unit: 1654

found sequence in accordance with *in re Ochiai*. Rejoinder is possible if Applicant provides a single and specific representative subsequence and states that the sequences of SEQ ID NOS: 1-10 are **not patentably distinct**, given a disclosed unifying common feature. Applicant is informed that if the specified sequence is found that all or a specified subset of sequences are obvious over that prior art sequence.

Species election requirement

4. This application contains claims directed to the following patentably distinct species: the intended purpose of the compositions of haptotactic-peptides/liposomes and the methods of using them. The species are independent or distinct because they are drawn to, variously, delivery of pharmaceutical compositions, diagnostic compositions, or cosmetic compositions. The three species (pharmaceuticals, diagnostics, and cosmetics) are comprised of distinct compositions of matter with distinct chemical structures and thus distinct biochemical and physiological properties. Furthermore, they can not be expected to be used on or for the same or even overlapping populations of patients or customers.

Applicant is required under 35 U.S.C. 121 to elect a single disclosed species for prosecution on the merits to which the claims shall be restricted if no generic claim is finally held to be allowable. Currently, claims 8, 10, 20, 21, 31-47 of Inventions I and II are generic.

Applicant is advised that a reply to this requirement must include an identification of the species that is elected consonant with this requirement, and a listing of all claims

Art Unit: 1654

readable thereon, including any claims subsequently added. An argument that a claim is allowable or that all claims are generic is considered nonresponsive unless accompanied by an election.

Upon the allowance of a generic claim, applicant will be entitled to consideration of claims to additional species which depend from or otherwise require all the limitations of an allowable generic claim as provided by 37 CFR 1.141. If claims are added after the election, applicant must indicate which are readable upon the elected species. MPEP § 809.02(a).

Inventorship

5. Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 CFR 1.48(b) if one or more of the currently named inventors is no longer an inventor of at least one claim remaining in the application. Any amendment of inventorship must be accompanied by a request under 37 CFR 1.48(b) and by the fee required under 37 CFR 1.17(i).

Rejoinder

6. The examiner has required restriction between product and process claims. Where applicant elects claims directed to the product, and a product claim is subsequently found allowable, withdrawn process claims that depend from or otherwise include all the limitations of the allowable product claim will be rejoined in accordance with the provisions of MPEP §

Art Unit: 1654

821.04. **Process claims that depend from or otherwise include all the limitations of the patentable product** will be entered as a matter of right if the amendment is presented prior to final rejection or allowance, whichever is earlier. Amendments submitted after final rejection are governed by 37 CFR 1.116; amendments submitted after allowance are governed by 37 CFR 1.312.

In the event of rejoinder, the requirement for restriction between the product claims and the rejoined process claims will be withdrawn, and the rejoined process claims will be fully examined for patentability in accordance with 37 CFR 1.104. Thus, to be allowable, the rejoined claims must meet all criteria for patentability including the requirements of 35 U.S.C. 101, 102, 103, and 112. Until an elected product claim is found allowable, an otherwise proper restriction requirement between product claims and process claims may be maintained. Withdrawn process claims that are not commensurate in scope with an allowed product claim will not be rejoined. See "Guidance on Treatment of Product and Process Claims in light of *In re Ochiai*, *In re Brouwer* and 35 U.S.C. § 103(b)," 1184 O.G. 86 (March 26, 1996). Additionally, in order to retain the right to rejoinder in accordance with the above policy, Applicant is advised that the process claims should be amended during prosecution either to maintain dependency on the product claims or to otherwise include the limitations of the product claims. **Failure to do so may result in a loss of the right to rejoinder.** Further, note that the prohibition against double patenting rejections of 35 U.S.C. 121 does not apply where the restriction requirement is withdrawn by the examiner before the patent issues. See MPEP § 804.01.

Art Unit: 1654

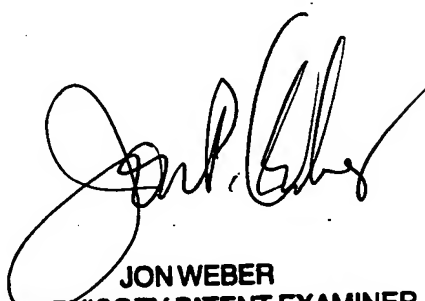
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Hugh P. Young whose telephone number is (571)-272-4988. The examiner can normally be reached on 8:00 AM - 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Cecilia Tsang can be reached on 571-272-0562. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Hugh P. Young Ph.D.

1654



JON WEBER
SUPERVISORY PATENT EXAMINER